

# **Folk & Traditional Arts Infrastructure Initiative, FY 2004**



**NATIONAL ENDOWMENT FOR THE ARTS  
APPLICATION GUIDELINES**

## Application Calendar

Category	Application Postmark (or Other Proof of Mailing) Deadline	Earliest Announcement of Grant Award or Rejection	Earliest Beginning Date for Endowment Period of Support
Folk & Traditional Arts Infrastructure Initiative	October 1, 2003	April 2004	July 1, 2004

**Late applications and ineligible applications will be returned.**

**If you have questions:**

**Write:** Folk & Traditional Arts Infrastructure Initiative  
National Endowment for the Arts  
Nancy Hanks Center  
1100 Pennsylvania Avenue, NW  
Washington, DC 20506-0001

**Visit:** Our Web site at [www.arts.gov](http://www.arts.gov) to download these guidelines and for further information about the agency and funding opportunities.

**Call:** 202/682-5678 or 202/682-5726



202/682-5496 Voice/T.T. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing)



Individuals who do not use conventional print may access these guidelines on the Web site or contact the Arts Endowment's Office for AccessAbility at 202/682-5532 for help in acquiring an audio recording of these guidelines.

Applicants should be aware that the delivery of First-Class and Priority mail to the Arts Endowment has been delayed. In addition, contents are subject to an irradiation process that may damage material. See page 8 for further information.

The National Endowment for the Arts exists to foster excellence in the arts, provide leadership in arts education, and connect Americans with the best of our nation's creative spirit. For more than three and a half decades, the Arts Endowment has encouraged creativity through support of performances, exhibitions, festivals, artist residencies, and other arts projects throughout the country.

The National Endowment for the Arts is the nation's largest annual funder of the arts. In FY 2003, the Art Endowment will award thousands of grants totaling nearly \$100 million to arts organizations and artists in all 50 states and the six U.S. jurisdictions. We have played a transformative and sustaining role in the development of regional opera, ballet, orchestras, museums, and other arts that Americans now enjoy.

Nearly 25 years ago, the NEA established a partnership with state and regional arts agencies to develop a network of folk arts specialists throughout the country. This commitment continues through our Folk & Traditional Arts Infrastructure Initiative, which offers funding for the development and maintenance of support systems for folk arts programs. Recent grants have been awarded for state and regional folk arts positions, master/apprentice programs, and technical assistance services to traditional artists and community-based organizations. The folk arts are vital to our nation's cultural heritage, and the National Endowment for the Arts is proud to support programs of artistic excellence in this field.

The National Endowment for the Arts pledges to provide accurate, timely, and clear information about our policies and procedures and to respond to inquiries in a courteous and efficient manner. By providing responsive service in support of exceptional programs, the Arts Endowment helps to ensure that America is a nation in which artistic excellence is celebrated, supported, and available to all.

Dana Gioia  
Chairman

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## **The National Endowment for the Arts**

The National Endowment for the Arts exists to foster, preserve, and promote excellence in the arts; to bring art to all Americans; and to provide leadership in arts education. The Arts Endowment is the nation's largest annual funder of the arts — bringing great art to all fifty states and the six U.S. jurisdictions including rural areas, inner cities, and military bases. Distributing more than \$100 million annually, it enhances our communities culturally and economically. Since it was established by Congress in 1965 as an independent federal agency, the Arts Endowment has awarded more than 120,000 grants including seed grants to create the Vietnam Veterans Memorial design competition, the American Film Institute, Ken Burns's documentary *Jazz*, the Mayors' Institute on City Design, Spoleto Festival USA, the Sundance Institute, and PBS's *Great Performances* series. The Arts Endowment also has awarded grants to 62 Pulitzer Prize winners. It connects America with the best of its creative spirit.

### **Vision**

A Nation in which artistic excellence is celebrated, supported, and available to all.

### **Mission**

The National Endowment for the Arts enriches our Nation and its diverse cultural heritage by supporting works of artistic excellence, advancing learning in the arts, and strengthening the arts in communities throughout the country.

### **Goals**

Through its grants programs and leadership initiatives, the Arts Endowment will:

- Encourage and support artistic creativity and preserve our diverse cultural heritage.
- Advance learning in the arts.
- Make the arts more widely available in communities throughout the country.
- Develop and maintain partnerships that advance the mission of the National Endowment for the Arts.

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## Folk & Traditional Arts Infrastructure Initiative

For more than 20 years, the Arts Endowment has helped to create and support a network of folk & traditional arts programs. Many of these programs are housed in state arts agencies, in multi-state regional organizations, and in other organizations that work in partnership with state arts agencies. This initiative advances the Arts Endowment's goal to preserve our nation's diverse cultural heritage by strengthening the state and regional infrastructure of support for the folk & traditional arts. For the purposes of these guidelines, the term infrastructure refers to stable, professionally-directed programs that are responsive to a diverse folk & traditional arts heritage.

Priority will be given to those projects that 1) are highly effective in expanding or strengthening a state or region's infrastructure of support for the folk & traditional arts, and 2) have the potential to make a long-term artistic contribution.

Projects might include, but are not limited to:

- Professional folk arts positions in support of the folk & traditional arts. Such positions should have the potential to become self-sustaining within three years.
- The creation of long-term organizational and community partnerships that are based in the folk & traditional arts.
- Discovery research to identify and document underserved folk & traditional artists and arts.
- Apprenticeship programs.
- Technical assistance to traditional artists and folk arts organizations.
- Festivals, exhibitions, new technology, and other presentations of folk & traditional artists and their work.

New, expanded, or existing projects are eligible.

### Eligibility

Eligible applicants are:

- The fifty state and six jurisdictional arts agencies.
- **In partnership with a state arts agency**, a state or local public entity or nonprofit tax-exempt 501(c)(3) organization that supports the folk & traditional arts on a state-wide basis.
- Regional organizations of state arts agencies.

No eligible applicant may submit more than one application under these guidelines.

To be eligible, the applicant organization must:

- Meet the “Legal Requirements,” including nonprofit, tax-exempt status, on page 26 at the time of application. An ineligible organization may not use a fiscal agent for the purpose of application.
- Have professional staff, paid or volunteer, who can devote the time and effort that are required to accomplish the project.
- Have submitted acceptable Final Report packages by the due date(s) for all Arts Endowment grant(s) previously received.

At the time of application, state arts agencies and regional arts organizations must be operating under plans that have been approved by the Arts Endowment.

Applications from groups other than state arts agencies must include letters from the relevant state arts agency(ies) that reflect their support for and involvement in the project. Applications must demonstrate how the project will relate to the state or region’s overall plan for the support of the arts.

Only state arts agencies, their regional arts organizations, and local arts agencies that are publicly-designated, nonprofit tax-exempt organizations are allowed by the Endowment’s current legislation to subgrant or regrant funds that are awarded under this Initiative.

If eligible, a *Folk & Traditional Arts Infrastructure Initiative* applicant also may apply under other Arts Endowment guidelines including *Grants for Arts Projects*. In each case, the request must be for a **distinctly different project**.

## Application Review and Announcement Date

All applications are reviewed by an advisory panel. Panel recommendations are forwarded to the National Council on the Arts. The Council sends to the Chairman of the National Endowment for the Arts those applications that it recommends for funding. The Chairman reviews the Council’s recommendations and makes the final decision on all grant awards. Applicants will be notified of award or rejection in April 2004.

## Intended Outcomes

In compliance with the Government Performance and Results Act, the Arts Endowment, along with other federal agencies, is required to collect information on the projects it funds in order to track the results – or outcomes – of its activities. This information is compiled and reported to Congress and the public.

In adopting an outcome-based approach to its grantmaking, the Endowment has identified the following as the outcome it plans to achieve through the *Folk & Traditional Arts Infrastructure Initiative* category:

Artistic works and cultural traditions are preserved.

Within the context of this outcome, we are asking all applicants to define what they would like to achieve, how they will assess the degree to which it is achieved, and, upon completion of the project, what they have learned from their successes and failures. This need not entail large-scale or expensive evaluation. Applicants should do what is feasible and appropriate for their organization and project. When a grant is completed, grantees must submit a final report and answer questions on their achievements and how they were gauged.

Additional [information about outcome-based evaluation](#) may be found on our Web site in the Apply for a Grant section at [www.arts.gov](http://www.arts.gov).

## Review Criteria

The following criteria are considered during the review of applications:

- The **artistic excellence** of the project.
- The **artistic merit** of the project, which includes the:
  - Effectiveness of the project in expanding or strengthening the state or regional infrastructure of support for the folk & traditional arts including the potential for a long-term artistic contribution.
  - Ability of the applicant to complete the project successfully including the qualifications of the project's personnel.
  - Plans for documentation, evaluation, and dissemination, as appropriate to the project.
  - Likelihood that the project will achieve the identified outcome(s) and the feasibility of the proposed performance measurements.
  - Applicant's demonstrated commitment to support of the folk & traditional arts.
  - For professional folk arts positions, the potential to become self-sustaining within three years.
  - Where appropriate, the potential to reach underserved populations such as those whose opportunities to experience the arts are limited by geography, ethnicity, economics, or disability.

## Grant Amounts and Matching Funds

Grants will range from \$10,000 to \$50,000 and require a match of **at least** 1 to 1.



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## **Deadline Date**

Complete application packages must be postmarked no later than October 1, 2003.

## **Period of Support**

The Endowment's support of a project may start any time on or after July 1, 2004. A grant period of up to two years is allowed. Allow sufficient time to plan, execute, and close out your project.

## **General Terms & Conditions**

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our General Terms & Conditions, which is available in the Manage Your Award section on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov). Included is information on U.S. Office of Management and Budget (OMB) requirements, matching funds, reporting requirements, and lobbying prohibitions.

## **Standards for Service**

The Arts Endowment has set the following standards for serving applicants. We pledge to:

- Treat you with courtesy and efficiency.
- Respond to inquiries and correspondence promptly.
- Provide clear and accurate information about our policies and procedures.
- Provide timely information about funding opportunities and make guidelines available promptly.
- Promptly acknowledge the receipt of your application.
- Ensure that all eligible applications are reviewed thoughtfully and fairly.

We welcome your comments on how we're meeting these standards. Please address them to: Standards for Service Coordinator; Room 628; National Endowment for the Arts; Nancy Hanks Center; 1100 Pennsylvania Ave., NW, Washington, DC 20506-0001; phone: 202/682-5408; e-mail: [webmgr@arts.endow.gov](mailto:webmgr@arts.endow.gov), attention: Standards for Service Coordinator.

For questions about these guidelines or your application, contact the Folk & Traditional Arts staff at 202/682-5678 or 202/682-5726.

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## How to Apply

To make your application easy to photocopy, **use only paper clips or rubber bands** to fasten your material; no staples, please. Type or wordprocess all application material using a 12 point or larger font. Submit all material on one side only. Narrative material (excluding the Application Forms) must have a margin of at least one inch on the top, bottom, and sides of pages so that it can be copied and placed in notebooks for panel review.

**Label your application package as shown below. Send your application package to:**

Application Processing  
Room 815  
(Folk & Traditional Arts Infrastructure Initiative)  
National Endowment for the Arts  
Nancy Hanks Center  
1100 Pennsylvania Avenue, NW  
Washington, DC 20506-0001

Be sure to include a complete return address on your package.

### Notice concerning delivery of First-Class and Priority mail

The delivery of First-Class mail to the Arts Endowment has been delayed since mid-October 2001, and delays are expected to continue for the foreseeable future. Until normal mail service resumes, please consider using alternative delivery services, particularly if you are sending time-sensitive material.

Some or all of the First-Class and Priority mail we receive may be put through an irradiation process to protect against biological contamination. Support material (e.g., CDs, videos, slides) put through this process may be severely damaged. If you are sending this kind of material, we strongly encourage you to consider using alternate delivery services.

We apologize for any inconvenience this may cause. Please contact us if you have questions.

Please submit your application material in the order and format noted below:

1. A self-addressed postcard. The Endowment will complete the postcard and return it to you to acknowledge receipt of your application.

2. **One copy of 1)** a letter from the Internal Revenue Service that reflects the applicant's current 501(c)(3) status and legal organization name, **or 2)** the official document that identifies the applicant as a unit of state or local government, or as a federally recognized tribal community or tribe. Local arts agencies applying for subgranting projects also must include a copy of the city/county ordinance, resolution, charter, or contract that assigns them the authority to operate on their local government's behalf.
3. The **original** (i.e., a set with original signatures) and **two copies** of the Application Forms on pages 12-18 and 22-25 (including the Organization & Project Profile Form). Instructions for those items that require explanation are on the form or on the page opposite the form in this booklet. When you photocopy your two copies of the completed Application Forms, be sure to copy only the forms and not the instruction pages.

Application forms that can be filled out on a computer are available in the *Folk & Traditional Arts Infrastructure Initiative* section of Apply for a Grant on our Web site at [www.arts.gov](http://www.arts.gov). Application forms also may be reproduced on a computer, but they must be accurate replicas of the actual forms. Do not add pages. All completed application forms must be mailed to the Arts Endowment in hard copy format as part of the application package.

4. **Two copies** of a list of current board members including professional affiliations.
5. **Three sets** of supplementary material (up to 20 pages per set) that can enhance a panelist's understanding of the project. Include a concise sampling of items such as letters of support, biographies of key project-related personnel, brochures, published articles, documentation of a Web site, maps, or other relevant documents.

Applications from groups other than state arts agencies must include letters from the relevant state arts agency(ies) that reflect their support for and involvement in the project. **Applications must demonstrate how the project will relate to the state or region's overall plan for the support of the arts.**

6. If appropriate to the project, a work sample(s) that can demonstrate the artistic excellence and artistic merit of the project. Submit **one copy** of audio or video cassettes, compact discs, CD-ROMs, slides, etc., and **two copies** of printed material such as publications. **The Arts Endowment may copy or digitally convert work samples to facilitate panel review. By submitting a work sample, you are giving the Endowment permission for reproduction and dissemination for the purpose of panel review.** Also complete and submit the Work Sample Index on page 20. See "How to Submit Work Samples" on page 21.

## **APPLICATION FORMS**

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## Instructions for Using Fill-in PDF Application Forms

To access a PDF file, you will need the free Adobe Acrobat Reader or Acrobat Approval software. The [free Acrobat Reader software](#) is available at Adobe's web site at [www.adobe.com](http://www.adobe.com). [Acrobat Approval](#) can be purchased for \$39 through the Adobe web site. **CAUTION: Please note that the free Adobe Acrobat Reader does not allow you to save your completed forms. You can save your completed forms if you use Acrobat Approval.**

**If you are using the free Acrobat Reader:** Before you start to fill out a form, please make sure that you have all the correct, final information available. You may wish to print the forms first, fill them out by hand, and ensure their accuracy before filling in the final forms on your computer. **Since Adobe Acrobat Reader does not allow you to save the form once it is filled out**, you will be unable to go back and edit your completed form after you close the window containing your form. With multi-page documents, you may want to print each page as you complete it.

**If you are using Acrobat Approval:** You can save, close, and reopen a form as you would a conventional word processing document.

Please note that currently there is no computation, validation, or verification of the information you enter. Form fields simply allow you to type in information; you must ensure it is correct.

To complete the forms:

1. If your cursor is not already in the shape of a "hand," select the "hand" tool from the Acrobat toolbar menu. This will allow you to move the page around to see each portion.
2. Move the "hand" pointer over a form box on the document. The "hand" should turn into an "I-beam." The "I-beam" signifies a "fill-in" section of the form. Click inside the box. You can now type into the box. When the pointer hovers over a check box, button, or item list, it will turn into a hand with one finger pointing. This means you can select the item.
3. To move from field to field, use the Tab key. Shift + Tab will move you to the previous field.
4. Fill out the form by typing text into the appropriate areas and checking boxes where needed. (Boxes can be checked either by clicking on the box with your mouse or by tabbing into the box and hitting the "enter" key.)
5. Print the form using the "print" icon in the Acrobat toolbar menu, not the print icon or command in your web browser. If you print using your web browser's print command instead of the Acrobat command, the contents of the fields might not print properly.
6. Check the printed forms very carefully for any errors, fields that did not print, or omissions. You may go back and make changes to any of the fields in your open document and then reprint it.

# Basic Information

OMB No. 3135-0112  
Expires 02/28/05

Read the instructions on page 13 before you start.

Applicant (official IRS name):

Mailing Address:

Street Address (if different):

ZIP Code (9-digit number):

ZIP Code (9-digit number):

Web Address:

Taxpayer ID Number (9-digit number):

DUNS Number:

If the applicant is serving as a parent institution applying on behalf of an eligible separate component for this application, list here the entity on whose behalf you are applying:

Project Director

☐ Mr. ☐ Ms. First:

Last:

Title:

E-mail:

Telephone: ( ) ext.

Fax: ( )

Category: Folk & Traditional Arts Infrastructure Initiative (3-55)

Period of Support (e.g., 07/01/04 to 06/30/05):

To:

Number of Months:

Summary of project:

Performance Measurements:

Project Budget Summary:

\$	PLUS	\$	MUST EQUAL	\$
Amount Requested		Total Match for this Project		Total Project Costs

Total organizational operating expenses for the most recently completed fiscal year:

\$

For year ending (Month/Year): /

I certify that the information contained in this application, including all attachments and supporting material, is true and correct to the best of my knowledge. I also certify that the applicant is in compliance with the federal requirements specified under "Assurance of Compliance" on pages 26-29.

Authorizing Official

☐ Mr. ☐ Ms. First:

Last:

Title:

E-mail:

Telephone: ( ) ext.

Fax: ( )

Signature:

Date: / /

Additional  
Authorizing  
Official (optional)

☐ Mr. ☐ Ms. First:

Last:

Title:

E-mail:

Telephone: ( ) ext.

Fax: ( )

Signature:

Date: / /



**NOTE:** Application forms that can be filled out on a computer are available in the Folk & Traditional Arts Infrastructure Initiative section of Apply for a Grant on our Web site at [www.arts.gov](http://www.arts.gov).

**APPLICANT:** Type your organization's name and address in the spaces provided. The name provided here and at the top of each page must be identical to the applicant's legal name in the IRS 501(c)(3) status letter or in the official document that identifies the organization as a unit of state or local government, or as a federally recognized tribal community or tribe. If the applicant uses a popular name that is different, you may note that name in parentheses after the IRS name.

If you are a parent organization that is applying on behalf of a component, do not list the name of the component here; you will be asked to provide it below. For example, a parent organization applying on behalf of a component would list its name here ("ABC University") and the name of the component ("XYZ Organization") below.

**ZIP CODE (9-DIGIT NUMBER):** Also known as "ZIP + 4 Code." Enter the 9-digit number that was assigned by the United States Postal Service. If you do not know your full ZIP Code you may look it up at <http://www.usps.com/zip4/>.

**TAXPAYER ID NUMBER:** Also known as "Employer Identification Number." Enter the 9-digit number that was assigned by the Internal Revenue Service; do not use a Social Security Number.

**DUNS NUMBER:** At the time of publication of these guidelines, it is expected that all applicants for federal funds will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number, a unique nine- or thirteen-digit sequence recognized as the universal standard for identifying and keeping track of over 70 million organizations and companies worldwide. If your organization does not have a DUNS number, you can receive one for free by calling 866/705-5711.

**IF THE APPLICANT IS SERVING AS A PARENT INSTITUTION APPLYING ON BEHALF OF AN ELIGIBLE SEPARATE COMPONENT FOR THIS APPLICATION** (e.g., a university campus that has a radio station as a component): Enter the name of the component in the space provided. Unless otherwise noted, items that relate to the official applicant should refer to the parent organization.

**PERIOD OF SUPPORT** is the span of time that is necessary to plan, execute, and close out your project. Use two-digit numerals, e.g., 07/01/04 to 06/30/05. The Endowment's support of a project may start any time on or after July 1, 2004. A grant period of up to two years is allowed.

**NUMBER OF MONTHS:** Enter the number of months that your "Period of Support" will encompass.

**PERFORMANCE MEASUREMENTS:** In this space, briefly describe how you will measure your success in achieving: 1) the Endowment-identified outcome for this category (Artistic works and cultural traditions are preserved); and 2) any additional outcome(s) that you have identified for the project. Measurements can be quantitative or qualitative, but they must be objective and verifiable.

#### PROJECT BUDGET SUMMARY:

- **Amount Requested:** Be sure that this is the same as the "Amount requested from the Arts Endowment" on page 16.
- **Total Match for this Project:** This is a restatement of the "Total match for this project" on page 16.
- **Total Project Costs:** This is a restatement of the "Total project costs" on page 18.

#### TOTAL ORGANIZATIONAL OPERATING EXPENSES FOR THE MOST RECENTLY COMPLETED FISCAL YEAR:

If you are a parent organization, provide this information for the component on whose behalf you are applying. Unaudited figures are acceptable.

**AUTHORIZING OFFICIAL(S):** Provide this information for the official of the applicant organization who has the legal authority to obligate the organization. This individual should sign and date the form where indicated.

If you are awarded a grant, the authorizing official(s) identified on your application can sign payment requests, requests to amend the grant, and final reports. If your organization wishes to identify more than one authorizing official for this project, please provide the information requested under "2. Additional Authorizing Official" and have the second authorizing official sign in the space provided.

# Application Narrative

OMB No. 3135-0112  
Expires 02/28/05

Read the instructions on page 15 before you start. You may attach up to three additional pages if necessary.

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Applicant (official IRS name):

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**Type your narrative in the space provided; leave a one inch margin on each side. Do not reduce type below 12 point font size; leave space between paragraphs.** The Endowment and panelists prefer succinct narratives; however, you may attach up to three additional pages if necessary. Make sure that any additional pages are labeled clearly with your organization's name and have margins of at least one inch.

The information that you provide will be reviewed in accordance with the "Review Criteria" on page 6. Make sure your narrative addresses each of the "Review Criteria" and includes information on:

- The project's strategic role in building infrastructure for the folk & traditional arts. Address the Endowment's outcome (Artistic works and cultural traditions are preserved) and identify any additional outcomes of your own that you have established for the project.
- How the project will benefit all participating partners.
- Plans for assessment of the project's accomplishments. Include your plans for documentation and evaluation, as appropriate. Describe how you will measure your success in achieving the outcomes identified above.
- How the project will relate to the state or region's overall plan for the support of the arts.
- For professional folk arts positions, how the position will become self-sustaining within three years. Previous grantees that request a second or third year of support must provide a status report on the activities that have been funded and address their plans for continuing the position beyond the period of the Arts Endowment's support.

# Project Budget

OMB No. 3135-0112  
Expires 02/28/05

Page 1 of 2. Read the instructions on page 17 before you start.

Applicant (official IRS name):

## INCOME

1. Amount requested from the Arts Endowment \$

2. Total match for this project Be as specific as possible. Asterisk (\*) those funds that are committed or secured.

Amount

Cash (Refers to the cash donations, grants, and revenues that are expected or received for this project)

Total cash a. \$

In-kind: Donated space, supplies, volunteer services (These same items also must be listed as direct costs under "Expenses" below or on page 18; Identify sources)

Total donations b. \$

Total match for this project (a. + b.) \$

## EXPENSES

1. Direct costs: Salaries and wages

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
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Total salaries and wages a. \$

Fringe benefits Total fringe benefits b. \$

Total salaries, wages, and fringe benefits (a. + b.) \$



Organizations may not receive more than one Arts Endowment grant for the same expenses. This budget cannot include project costs that are supported by any other federal funds or their match. Only state arts agencies, their regional arts organizations, and local arts agencies that are publicly-designated, nonprofit tax-exempt organizations are allowed by the Endowment's current legislation to subgrant or regrant funds that are awarded under this Initiative.

**Your Project Budget should reflect only those costs that will be incurred during the "Period of Support" that you indicate on page 12; do not include costs incurred before or after those dates.** Round all numbers to the nearest \$100. **Combine like costs if necessary to making rounding more realistic.**

## INCOME

- 1. AMOUNT REQUESTED FROM THE ARTS ENDOWMENT:** Indicate the amount that you are requesting from the Arts Endowment.
- 2. TOTAL MATCH FOR THIS PROJECT:** The Arts Endowment requires each applicant to obtain at least half the total cost of each project from non-federal sources. Matches of more than dollar for dollar are encouraged. Be as specific as possible. **Asterisk (\*) those funds that are committed or secured.**

**Cash** match refers to the cash donations (including items or services that are provided by the applicant organization), grants, and revenues that are expected or received for this project. Do not include any Arts Endowment or other federal grants that are anticipated or received. Identify sources.

**In-kind: Donated space, supplies, volunteer services** are goods and services that are donated by individuals or organizations other than the applicant (third-party). **To qualify as matching resources, these same items also must be listed in the project budget as direct costs.** The dollar value of these non-cash donations should be calculated at their verifiable fair-market value. Identify sources. Reminder: Proper documentation must be maintained for all items noted as "in-kind."

## EXPENSES

**DIRECT COSTS** are those that are identified specifically with the project.

- 1. DIRECT COSTS: Salaries and wages** cover compensation for personnel, administrative and artistic, who are paid on a salary basis. (Funds for contractual personnel and compensation for artists who are paid on a fee basis should be included in "3. Other expenses," and not here.) Indicate the title and/or type of personnel, the number of personnel, the annual or average salary range, and the percentage of time that will be devoted to the project. List key staff positions, and combine similar functions. Where appropriate, use ranges. Example:

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
Executive Director	1	\$40,000 per yr.	10%	\$4,000
Archivists	3	\$20-25,000 per yr.	5-40%	\$15,000
Support Staff	2	\$15-20,000 per yr.	20-30%	\$9,000

Salaries and wages for performers and related or supporting personnel must be estimated at rates no less than the prevailing minimum compensation as required by the Department of Labor Regulations. (See "Legal Requirements" on page 26.) Salaries and wages that are incurred in connection with fund raising are not allowable project expenses; do not include them in your budget.

**Fringe benefits** are those costs other than wages or salary that are attributable to an employee, as in the form of pension, insurance, etc. They may be included here only if they are not included as indirect costs.

# Project Budget (cont'd.)

OMB No. 3135-0112  
Expires 02/28/05

Page 2 of 2. Read the instructions on page 19 before you start.

Applicant (official IRS name):

## EXPENSES, CONTINUED

### 2. Direct costs: Travel (Include subsistence)

# of travelers	From	To	Amount
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Total travel \$

### 3. Direct costs: Other expenses (Include consultant and artist fees, honoraria, contractual services, access accommodations, telephone, photocopying, postage, supplies and materials, publication, distribution, translation, transportation of items other than personnel, rental of space or equipment, and other project-specific costs)

Amount

Total other expenses \$

4. Total direct costs (1. from page 16 +2.+3.)

\$

### 5. Indirect costs (if applicable)

Federal Agency:

Rate (%)

x Base

= \$

6. Total project costs (4.+5.)

\$

**EXPENSES, CONTINUED**

2. **DIRECT COSTS: Travel** must be estimated according to the applicant's established travel practice, providing that the travel cost is reasonable and does not exceed the cost of air coach accommodations. Include subsistence costs (e.g., hotels, meals) as part of the "Amount" listed for each trip, as appropriate. Foreign travel, if any is intended, must be specified in this section and must conform with government regulations. If Arts Endowment funds are used for foreign travel, such travel must be booked on a U.S. air-carrier when this service is available.
3. **DIRECT COSTS: Other expenses** include consultant and artist fees, honoraria, contractual services, access accommodations (e.g., audio description, sign-language interpretation, closed or open captioning, large-print brochures/labeling), telephone, photocopying, postage, supplies and materials, publication, distribution, translation, transportation of items other than personnel, rental of space or equipment, and other project-specific costs. **List artist compensation here if artists are paid on a fee basis.**

Television broadcast projects and educational/interpretive videos must be closed or open captioned. Applicants should check with captioning organizations for an estimate.

**If you intend to purchase any equipment that costs \$5,000 or more per item and that has an estimated useful life of more than one year, you must identify that item here and attach a written justification.**

Group similar items together on a single line, with only one total cost. List consultant and artist fees, honoraria, or contracts for professional services on consecutive lines; do not scatter them throughout the list. Specify the number of persons and the applicable fee, rate, or amount of each. You may attach additional sheet(s) if necessary. See example below:

Artists (5 @ \$300-500 per week/30 weeks)	\$60,000
Consultants (2 @ \$150 per ½ day/1 day per mo./10 mos.)	\$6,000
Access accommodations (sign-language interpretation and audio description)	\$1,200
Project supplies	\$4,000
Administration (rent, telephone, copying)	\$5,000

Do not include fund raising, entertainment or hospitality activities, concessions (e.g., food, T-shirts), fines and penalties, bad debt costs, deficit reduction, cash reserves or endowments, lobbying, marketing expenses that are not directly related to the project, contingencies, miscellaneous, or costs incurred before the beginning of the official period of support.

4. **TOTAL DIRECT COSTS** is the total of all direct cost items listed in "1. Salaries and wages," "2. Travel," and "3. Other expenses."
5. **INDIRECT COSTS** are overhead or administrative costs that are not readily identifiable with a specific project. (The costs of operating and maintaining facilities and equipment, depreciation or use allowances, and administrative salaries and supplies are typical examples of indirect costs.) Indirect costs are prorated or charged to a project through a rate negotiated with the Arts Endowment or another federal agency. **If you do not have or intend to negotiate an indirect cost rate**, leave this section blank. You may claim administrative costs or overhead as direct costs under "3. Other expenses." If you have a negotiated rate and would like to include indirect costs, complete the information requested in this section and attach a copy of your current negotiated agreement. For additional information, contact the Office of Inspector General, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001 (202/682-5402).
6. **TOTAL PROJECT COSTS** is the total of "4. Total direct costs," and, if applicable, "5. Indirect costs." NOTE: "1. Amount requested from the Arts Endowment" plus "2. Total match for this project" must equal the "Total project costs." Your project budget should **not** equal your organization's entire operating budget.

# Work Sample Index

OMB No. 3135-0112  
Expires 02/28/05

Refer to "How to Apply" on page 9 and the instructions on page 21. List the work(s) submitted as part of your application package in the order in which you want them reviewed.

If more than two work samples are submitted, you may copy this blank form, obtain a copy from the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov), or reproduce it on your computer (please keep to the original format). Label additional samples C, D, E...

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Applicant (official IRS name):

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## WORK SAMPLE A

1. **Format (check one):**    ☐ Slides    ☐ Books/publications    ☐ Audio cassette    ☐ CD    ☐ DAT    ☐ DVD  
                                 ☐ VHS    ☐ 3/4" video cassette    ☐ CD-ROM    ☐ Other \_\_\_\_\_
- 

2. **List selections/describe contents**  
(Where appropriate, indicate title of work/artists/production credits, etc. Attach additional sheet(s) if necessary):
- 

- 
3. **Date work(s) completed or performed:**
- 

4. **Relationship of work sample to the project:**
- 

- 
5. **Special instructions** (Include cue information or real elapsed time, indicating the start of each selection):
- 

---

## WORK SAMPLE B

1. **Format (check one):**    ☐ Slides    ☐ Books/publications    ☐ Audio cassette    ☐ CD    ☐ DAT    ☐ DVD  
                                 ☐ VHS    ☐ 3/4" video cassette    ☐ CD-ROM    ☐ Other \_\_\_\_\_
- 

2. **List selections/describe contents**  
(Where appropriate, indicate title of work/artists/production credits, etc. Attach additional sheet(s) if necessary):
- 

- 
3. **Date work(s) completed or performed:**
- 

4. **Relationship of work sample to the project:**
- 

- 
5. **Special instructions** (Include cue information or real elapsed time, indicating the start of each selection):
-



### **How to Submit Work Samples**

**Work samples are crucial for evaluating the artistic quality of your project.** Please take the time to select samples that communicate effectively the range and quality of your proposal.

**Panelists generally spend no more than three to five minutes on the work sample(s) for each application. Organize and cue your submission(s) accordingly.** If you are submitting more than one sample, list your samples on the Work Sample Index in the order in which you want them reviewed.

Label each sample clearly with the name of the applicant and the corresponding Work Sample letter from the Work Sample Index. Where relevant, label both the cassette or disc, and its container.

Where relevant, cue your submission(s) to the start of the sample(s) to be reviewed, and include cue information on the Work Sample Index. Please be aware that the entire sample (not just the selected segment) is considered a part of the application package and may be reviewed.

**Work samples generally will not be returned.** The Arts Endowment will attempt to return them when the applicant specifically requests that we do so. Do not submit a return envelope with your work samples. The Endowment cannot be responsible for any loss or damage.

### **Specific Instructions for Certain Types of Work Samples**

**Audio and video cassettes:** List each different cassette as **one** work sample on the Work Sample Index form. Place the selection(s) in priority order, with those that you would most like reviewed at the beginning of the tape. **Indicate the accumulated elapsed real time of each.** For example, starting at the beginning of a 15-minute tape, Selection 1 would be indicated as 0'00". If five minutes elapse from the beginning of the tape to where the second selection starts, Selection 2 would be indicated as 5'00", etc.

**Audio cassettes:** Work may be submitted on an audio cassette or on DAT (digital audiotape). Use high bias chrome or metal tapes; do not use voice quality tapes unless you are applying for a spoken-word project. Note on the cassette whether or not you have used a noise reduction system and indicate what kind. Record works on one side only. For DATs, program a separate track for each selection on the tape.

**Video cassettes:** Tapes must be 1/2 inch VHS or 3/4 inch cassette, recorded at standard play speed.

**Compact discs:** List each different CD as **one** work sample on the Work Sample Index form. Place each selection on a separate track. Indicate the track number(s) that you want reviewed in priority order.

**CD-ROMs or DVD-ROMs:** List each different CD-ROM or DVD-ROM as **one** work sample on the Work Sample Index form. Discs should be formatted for viewing on both Macintosh and PC platforms. Include information on required software, if appropriate, and outline the navigation path to be followed or list the files(s) to be reviewed in priority order. Include instructions on how to open the files.

**Slides:** Slides must be 35 mm and suitable for carousel projection. Do not submit glass slides or use masking tape or other thick tape to label slides. Submit slides as follows:

- Number each slide.
- Place an ink dot on the **front bottom left** of each slide to guarantee that it is projected correctly.
- Place the slides in a 9 inch by 11 inch clear plastic file sheet.
- **List your set of slides as one work sample on the Work Sample Index form.** Attach to the Work Sample Index a numbered list of the individual slides. Be sure that the numbers on your list correspond to the numbers on each slide. Provide the following information, as applicable, about each slide:
  - Artist's name.
  - Title of slide/work.
  - Medium.
  - Date of work/activity.
  - Dimensions of artwork.
  - A brief description of the work including how this image relates to the project.

**Advanced technology:** For Web sites, list the URLs for pages to be shown. Include information on any required plug-ins and outline the navigation path to be followed. For other types of projects (e.g., Internet projects, enhanced television) call the Arts Endowment staff at 202/682-5678 or 202/682-5726 for guidance in preparing a submission.

# Organization & Project Profile

OMB No. 3135-0112  
Expires 02/28/05

**Applicant** (official IRS name):

The National Endowment for the Arts collects basic descriptive information about all applicants and their projects. The information below will help the Endowment to comply with the Government Performance and Results Act (GPRA) and will be used to develop statistical profiles of the projects it funds to report to Congress and the public. While your responses will not be a factor in the review of your application, this form is a required part of all application packages.

## PART I

**This section collects information about the applicant. If you are a parent organization, your responses should relate to your organization, not the component on whose behalf you are applying.**

**A. ORGANIZATIONAL STATUS:** Select the one item which best describes the legal status of the organization:

- |   |  |  |
|---|--|--|
| 02 <input type="checkbox"/> <b>Nonprofit organization</b> | 05 <input type="checkbox"/> <b>State government</b>  | 07 <input type="checkbox"/> <b>County government</b> |
| 08 <input type="checkbox"/> <b>Municipal government</b>   | 09 <input type="checkbox"/> <b>Tribal government</b> | 99 <input type="checkbox"/> <b>None of the above</b> |

**B. ORGANIZATIONAL DESCRIPTION:** The following codes work in conjunction with the Organizational Discipline codes in C. below (e.g., select "Performing Group" here and "Theater" below to indicate that your organization is a theater company). Select the one item which best describes the organization:

- |   |  |   |  |
|---|--|---|--|
| 15 <input type="checkbox"/> <b>Arts Center</b><br>(e.g., a multi-purpose arts facility)             | 32 <input type="checkbox"/> <b>Community Service Organization</b><br>(a non-arts service organization, e.g., youth center, chamber of commerce, or YMCA) | 28 <input type="checkbox"/> <b>Historical Society/Commission</b>          | 19 <input type="checkbox"/> <b>School District</b>   |
| 16 <input type="checkbox"/> <b>Arts Council or Agency</b><br>(includes regional arts organizations) | 14 <input type="checkbox"/> <b>Fair or Festival</b>  | 29 <input type="checkbox"/> <b>Humanities Council or Agency</b>           | 50 <input type="checkbox"/> <b>Social Service Organization</b><br>(a governmental or private agency, e.g., a public housing authority) |
| 17 <input type="checkbox"/> <b>Arts Service Organization</b><br>(includes state-wide assemblies)    | 30 <input type="checkbox"/> <b>Foundation</b>  | 27 <input type="checkbox"/> <b>Library</b>                                | 18 <input type="checkbox"/> <b>Union or Professional Association</b><br>(includes artists'/designers' guilds, societies, etc.)         |
| 26 <input type="checkbox"/> <b>College or University</b>  | 10 <input type="checkbox"/> <b>Gallery/Exhibition Space</b>  | 08 <input type="checkbox"/> <b>Museum – Art</b>                           | 99 <input type="checkbox"/> <b>None of the above</b>   |
|   | 38 <input type="checkbox"/> <b>Government</b><br>(state, county, local, or tribal)   | 09 <input type="checkbox"/> <b>Museum – Other</b>                         |  |
|   |  | 07 <input type="checkbox"/> <b>Performance Facility</b>                   |  |
|   |  | 47 <input type="checkbox"/> <b>Presenter/Cultural Series Organization</b> |  |

**C. ORGANIZATIONAL DISCIPLINE:** Select the one item which best describes the organization's area of work in the arts (not the project for which it is applying):

- |   |  |  |  |
|---|--|--|--|
| 07 <input type="checkbox"/> <b>Crafts</b> | 12 <input type="checkbox"/> <b>Folklife/Traditional Arts</b> | 02 <input type="checkbox"/> <b>Music</b>       | 14 <input type="checkbox"/> <b>Multidisciplinary</b><br>(more than one discipline) |
| 01 <input type="checkbox"/> <b>Dance</b>  | 13 <input type="checkbox"/> <b>Humanities</b>                | 05 <input type="checkbox"/> <b>Visual Arts</b> | 99 <input type="checkbox"/> <b>None of the above</b>                               |



# Organization & Project Profile (cont'd.)

OMB No. 3135-0112  
Expires 02/28/05

**Applicant** (official IRS name):

**D. ORGANIZATIONAL RACE/ETHNICITY (OPTIONAL):** Select the one item which best describes the predominant racial/ethnic identity of the organization. If at least half of the board, staff, or membership belongs to one of the listed racial/ethnic groups, use that designation. If no one group predominates, select "General".

- |   |  |  |   |
|---|--|--|---|
| N <input type="checkbox"/> American Indian or Alaska Native | B <input type="checkbox"/> Black or African American | O <input type="checkbox"/> Native Hawaiian or Other Pacific Islander | G <input type="checkbox"/> General<br>(No predominant racial/ethnic identity) |
| A <input type="checkbox"/> Asian                            | H <input type="checkbox"/> Hispanic or Latino        | W <input type="checkbox"/> White                                     |   |

**E. ACCESSIBILITY:** Check below as applicable to indicate if the organization's board or staff includes an older adult (65 years of age or older) or a person with a disability (a physical or mental impairment that substantially limits one or more major life activities); otherwise leave blank.

- ☐ Older Adults      ☐ Individuals with Disabilities

## PART II

This section collects information about the project.

**A. PROJECT DISCIPLINE:** Select the one item which best describes the project discipline:

- |   |   |  |   |
|---|---|--|---|
| 12 <input type="checkbox"/> Folklife/Traditional Arts | 12A <input type="checkbox"/> Folk/Traditional Dance | 12C <input type="checkbox"/> Folk/Traditional Crafts and Visual Arts                         | 99 <input type="checkbox"/> None of the above |
|   | 12B <input type="checkbox"/> Folk/Traditional Music | 12D <input type="checkbox"/> Oral Traditions<br>(includes folk/<br>traditional storytelling) |   |

**B. PROJECT RACE/ETHNICITY (OPTIONAL):** Select the one item which best describes the predominant racial/ethnic identity of the project. If the majority of activities are intended to involve or act as a clear expression or representation of the cultural traditions of one particular group, or deliver services to a designated population listed below, choose that group. If the activity is not designated to represent or reach any one particular group, select "General".

- |   |  |  |   |
|---|--|--|---|
| N <input type="checkbox"/> American Indian or Alaska Native | B <input type="checkbox"/> Black or African American | O <input type="checkbox"/> Native Hawaiian or Other Pacific Islander | G <input type="checkbox"/> General<br>(No predominant racial/ethnic identity) |
| A <input type="checkbox"/> Asian                            | H <input type="checkbox"/> Hispanic or Latino        | W <input type="checkbox"/> White                                     |   |

# Organization & Project Profile (cont'd.)

OMB No. 3135-0112  
Expires 02/28/05

**Applicant** (official IRS name):

**C. ACTIVITY TYPE:** Select the one item which best describes the main activity of the project:

04 <input type="checkbox"/> <b>Artwork Creation</b> Includes media arts, design projects, and commissions	17 <input type="checkbox"/> <b>Publication</b> (e.g., books, manuals)	15 <input type="checkbox"/> <b>Professional Support: Artistic</b> (e.g., artists' fees, payments for artistic services)	12 <input type="checkbox"/> <b>Arts Instruction</b> Includes lessons, classes, and other means to teach knowledge of and/or skills in the arts
05 <input type="checkbox"/> <b>Concert/Performance/Reading</b> Includes production development	18 <input type="checkbox"/> <b>Repair/Restoration/Conservation</b>	29 <input type="checkbox"/> <b>Professional Development/Training</b> Activities enhancing career advancement	20 <input type="checkbox"/> <b>School Residency</b> Artist activities in an educational setting
06 <input type="checkbox"/> <b>Exhibition</b> Includes visual arts, media arts, design, and exhibition development	22 <input type="checkbox"/> <b>Seminar/Conference</b>	19 <input type="checkbox"/> <b>Research/Planning</b> Includes program evaluation, strategic planning, discovery research, and establishing partnerships	21 <input type="checkbox"/> <b>Other Residency</b> Artist activities in a non-school setting
08 <input type="checkbox"/> <b>Fair/Festival</b>	25 <input type="checkbox"/> <b>Apprenticeship</b>	33 <input type="checkbox"/> <b>Building Public Awareness</b> Activities designed to increase public understanding of the arts or to build public support for the arts	35 <input type="checkbox"/> <b>Web Site/Internet Development</b> Includes the creation or expansion of Web sites, the development of digital art collections, interactive services delivered via the Internet, etc.
09 <input type="checkbox"/> <b>Identification/Documentation</b> (e.g., for archival or educational purposes)	36 <input type="checkbox"/> <b>Broadcasting</b> Includes broadcasts via TV, cable, radio, the Web, or other digital networks	34 <input type="checkbox"/> <b>Technical Assistance</b> with technical/administrative functions	99 <input type="checkbox"/> <b>None of the above</b>
16 <input type="checkbox"/> <b>Recording/Filming/Taping</b> (e.g., to extend the audience for a performance through film/tape; do not include archival projects)	24 <input type="checkbox"/> <b>Distribution of Art</b> (e.g., films, books, prints; do not include broadcasting)		
	14 <input type="checkbox"/> <b>Professional Support: Administrative</b> (includes consultant fees)		

**D. PROJECT DESCRIPTORS:** Select up to four items that represent a significant aspect of the project:

9F <input type="checkbox"/> <b>Accessibility</b> Projects designed to increase access to the arts for persons with disabilities including ADA/504 compliance activities	9L <input type="checkbox"/> <b>Arts for Youth</b> Projects for young people 18 years of age or younger	9D <input type="checkbox"/> <b>Arts for Inner-City Communities</b>	9M <input type="checkbox"/> <b>Presenting</b> The presentation of exhibitions, productions, etc., created elsewhere
90 <input type="checkbox"/> <b>Arts for Older Adults</b> Projects for artists/audiences 65 years of age or older	9E <input type="checkbox"/> <b>Arts for "At Risk" Persons (Adults or Youth)</b>	9C <input type="checkbox"/> <b>Arts for Rural Communities</b>	9A <input type="checkbox"/> <b>Computer/Digital Technology</b> The use of new technology for the creation or dissemination of artworks, or for organizational management purposes
	9Q <input type="checkbox"/> <b>Arts and Health/Healing</b> The arts in healthcare or as aids in healing including community responses to natural disasters or other tragedies	9I <input type="checkbox"/> <b>International Activity</b> Projects involving U.S. artists in other countries, visiting foreign artists, cultural exchanges, etc.	
		9B <input type="checkbox"/> <b>Touring</b> The movement of artworks or artists for performances, etc., to benefit audiences in different geographic areas	

**E. SCHOOL/AFTER-SCHOOL ACTIVITY:** If your project involves pre-K through grade 12 students, answer the following questions by selecting yes or no; otherwise leave blank.

Will activity take place in a pre-K through grade 12 school facility? ☐ Yes ☐ No  
Will activity take place outside the regular school day? ☐ Yes ☐ No

# Organization & Project Profile (cont'd.)

OMB No. 3135-0112  
Expires 02/28/05

Applicant (official IRS name):

**F. ARTS EDUCATION:** Select the one response that best characterizes the extent to which this project involves arts education (i.e., systematic educational efforts with measurable outcomes designed to increase knowledge of and/or skills in the arts):

99 ☐ None

02 ☐ Some, but less than 50%

**50% or more with activities primarily directed to:**

01A ☐ K-Grade 12 Students

01D ☐ Adult Learners (Includes teachers and artists)

01C ☐ Pre-Kindergarten Children

01B ☐ Higher Education Students

01 ☐ Multiple Groups of Learners

For items G. and H. below, your figures should encompass only those activities and individuals directly affected by or involved in your project during the "Period of Support" that is listed on page 12. Leave blank any items that are not applicable or for which you do not have actual figures or reasonable estimates.

**G. PROJECT ACTIVITY:**

\_\_\_\_\_ **# of artwork(s) to be created**  
(Do NOT include student works, adaptations, re-creations, or re-stagings of existing works.)

\_\_\_\_\_ **# of concerts/performances/readings**

\_\_\_\_\_ **# of lectures/demonstrations/workshops/symposiums**

\_\_\_\_\_ **# of exhibitions to be curated/presented**  
(Include visual arts, media arts, films, film festivals, and design. Count each curated film festival as a single exhibition.)

\_\_\_\_\_ **# of books and/or catalogues to be published**  
(The # of different titles, not the # distributed. Do NOT include performance programs or guides, newsletters, or other ancillary material.)

\_\_\_\_\_ **# of artworks to be conserved/restored to save or prevent from decay or destruction**

\_\_\_\_\_ **# of artworks to be identified/documented**  
(i.e., for the purpose of creating a comprehensive list, inventory, or catalogue. Include works digitally converted for documentation or access purposes.)

\_\_\_\_\_ **# of artists' residencies**  
(Artists' activities in schools or other community settings over an extended period of time.)

\_\_\_\_\_ **# of schools (pre-K through grade 12) that will actively participate**  
(Those schools that will be involved actively in your project, not those to which material simply is distributed.)

\_\_\_\_\_ **# of organizational partners**  
(Organizations that combine resources and work together to make the project happen. Do NOT include funders unless they will actively participate.)

\_\_\_\_\_ **# of apprenticeships/internships**

\_\_\_\_\_ **# of hours to be broadcast on radio, television, or cable**  
(For series, include hours for all broadcasts. Include broadcasts that occur after the end date of the project **only** if they will be a direct result of funding of this application. Do NOT include public service announcements, advertising, or other promotional activities. Do NOT include Web-casts.)

**H. PARTICIPANTS/AUDIENCES BENEFITING:**

\_\_\_\_\_ **# of artists**  
(Those artists who will participate actively in the project including members of performing groups and living artists whose work will be represented. Do NOT include technical, managerial, or administrative support. If an artist also is a teacher, you may count that person as either an artist or a teacher, but not both.)

\_\_\_\_\_ **# of teachers**  
(Those teachers who will participate actively in the project. If a teacher also is an artist, you may count that person as either an artist or a teacher, but not both.)

\_\_\_\_\_ **# of children/youth**  
(Those 18 years of age or younger.)

\_\_\_\_\_ **Total # of individuals benefiting**  
(Include all those from the left column plus others to be involved in the project during the "Period of Support" that is listed on page 12. Do NOT include broadcast audiences; see below.)

\_\_\_\_\_ **For radio, television, and cable broadcasts, total audience**  
(For series, include audience totals for all broadcasts. Include broadcasts that occur after the end date of the project **only** if they will be a direct result of funding of this application. Do NOT include public service announcements, advertising, or other promotional activities. Do NOT include Web-casts.)

## LEGAL REQUIREMENTS

By law, the National Endowment for the Arts may support only those organizations that:

- **Are tax-exempt.** Organizations qualifying for this status must meet the following criteria:

(1) No part of net earnings may benefit a private stockholder or individual.

(2) Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended.

For further information, go to the Internal Revenue Service (IRS) Web site at <http://www.irs.gov/>; write the IRS TE/GE Division, Customer Service, P.O. Box 2508, Cincinnati, OH 45201; or call the IRS office listed in your area.

- **Compensate all professional performers and related or supporting professional personnel on Arts Endowment-supported projects at no less than the prevailing minimum compensation.** (This requirement is in accordance with regulations that have been issued by the Secretary of Labor in [part 505 of Title 29 of the Code of Federal Regulations](#); part 505 does not provide information on specific compensation levels. You can link to it through the FY 2004 *Folk & Traditional Arts Infrastructure Initiative* guidelines document on our Web site at [www.arts.gov](http://www.arts.gov).)
- **Assure that no part of any Arts Endowment-supported project will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous** to the health and safety of the employees involved.
- **Comply with the federal requirements that are outlined in the “Assurance of Compliance”** section below.

## ASSURANCE OF COMPLIANCE

**By signing the application form, the Applicant certifies that it is in compliance with the statutes outlined below and all related Arts Endowment regulations and will maintain records and submit the reports that are necessary to determine compliance.** The Applicant further certifies that it will obtain assurances of compliance from all subrecipients of Endowment funds to comply with these requirements. The Arts Endowment may conduct a review of your organization to ensure that it is in compliance. If the Endowment determines that a grantee has failed to comply with these statutes, it may suspend, terminate, and/or recover funds. This assurance is subject to judicial enforcement.

## 1. Nondiscrimination Statutes

The Applicant certifies that it does not discriminate:

- On the grounds of race, color, or national origin (including limited English proficiency), in accordance with [Title VI of the Civil Rights Act of 1964](#), as amended (42 U.S.C. 2000d et seq.).
- On the grounds of disability, in accordance with [Section 504 of the Rehabilitation Act of 1973](#) (29 U.S.C. 794) and the [Americans with Disabilities Act of 1990](#) ("ADA") (42 U.S.C. 12101-12213). The ADA's requirements apply regardless of whether you receive federal funds.
- On the basis of age, in accordance with the [Age Discrimination Act of 1975](#) (42 U.S.C. 6101 et seq.).
- On the basis of sex, in any education program or activity, in accordance with [Title IX of the Education Amendments of 1972](#) (20 U.S.C. 1681 et seq.).

For further information and copies of the nondiscrimination regulations identified above, contact the Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T., or link to them through the FY 2004 *Folk & Traditional Arts Infrastructure Initiative* guidelines document on our Web site at [www.arts.gov](http://www.arts.gov). For inquiries about limited English proficiency, go to <http://www.lep.gov/> or contact the Office of General Counsel at [ogc@arts.endow.gov](mailto:ogc@arts.endow.gov) or 202/682-5418.

2. [Regulations relating to Debarment and Suspension](#) (45 C.F.R. pt. 1154) in which the Applicant certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in covered transactions by any federal department or agency, nor

Has, within the three years preceding the submission of this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with a public (federal, state, or local) transaction or a contract under a public transaction; for violation of federal or state antitrust statutes; for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; had any public transactions terminated for cause or default; or is presently indicted for or otherwise criminally or civilly charged by a governmental entity with any of the preceding offenses.

3. **Federal Debt Status** (OMB Circular A-129). The applicant certifies that it is not delinquent in the repayment of any federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments.

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4. [The Drug-Free Workplace Act of 1988](#) (41 U.S.C. 701 et seq. and 45 C.F.R. pt. 1154) requires grantee organizations, within 30 days of receiving a grant, to make a continuing, good faith effort to maintain a drug-free workplace through implementation of the following:
- Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace, and specifying the actions that will be taken against employees for violation of the prohibition. (For the purposes of this Act, alcohol is not considered a controlled substance.) The grantee shall give a copy of the statement to each employee who will be involved in grant-supported activities and notify those employees that they are expected to abide by the statement. For the purposes of this law, "employees" include consultants and temporary personnel (but not volunteers), who are directly engaged in work under the grant and who are on the grantee's payroll. The grantee should maintain on file the address of each site where work is performed under the grant.
  - Establish a drug-free awareness program that will inform employees about the dangers of drug abuse in the workplace, the grantee's policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that might be imposed for workplace drug abuse violations. Employees should be informed that any conviction for a violation of a criminal drug statute that occurs in the workplace must be reported to the employer, in writing, no later than five calendar days after such a conviction. The grantee, in turn, must notify the Arts Endowment's Grants & Contracts Officer, in writing, within ten calendar days of receiving such notice from its employee. The grantee's notice to the Arts Endowment must include the convicted individual's position title and the number(s) of each affected grant.
  - Within 30 calendar days of receiving notice of an employee's criminal drug conviction, a grantee should take appropriate personnel action against the convicted employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program that has been approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

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5. [The Native American Graves Protection and Repatriation Act of 1990](#) (25 U.S.C. 3001 et seq.) which applies to any organization which controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

### Other

If your project, including the planning stage, has environmental implications (e.g., an arts festival in a park or the commissioning and installation of an outdoor sculpture), you may be requested to provide information to the Arts Endowment in response to specific questions in accordance with the [National Environmental Policy Act](#).

If your project includes the planning for major renovation of any structure that is eligible for or on the National Register of Historic Places you may be requested to provide additional information on your project to ensure compliance with the [National Historic Preservation Act](#). This law also applies to planning for new construction that would affect historic properties. If a structure for your proposed project is more than fifty years old, contact your state historic preservation office for more information.

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### Reporting Burden

The public reporting burden for this collection of information is estimated at an average of 15 hours per response including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Arts Endowment welcomes any suggestions that you might have on improving the guidelines and making them as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Office of Guidelines & Panel Operations, Room 516, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001. Note: Applicants are not required to respond to the collection of information unless it displays a currently valid U.S. Office of Management and Budget (OMB) control number.